European Journal of Mathematics
DOI 10.1007/s40879-016-0127-z

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RESEARCH ARTICLE

Smooth rational surfaces violating Kawamata–Viehweg vanishing

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Received: 22 August 2016 / Accepted: 12 December 2016

Abstract We show that over any algebraically closed field of positive characteristic, there exists a smooth rational surface which violates Kawamata–Viehweg vanishing.

Keywords Rational surfaces · Kawamata–Viehweg vanishing theorem · Positive characteristic

Mathematics Subject Classification 14E30 · 14J26

1 Introduction

It is a well-known fact that Kodaira vanishing fails in positive characteristic [23]. Nevertheless, it has often been believed that a stronger version, namely Kawamata–Viehweg vanishing, holds over a smooth rational surface (e.g. see [32,33]). In this note, we show that this is in fact not true:

Both of the authors were funded by EPSRC.

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Published online: 25 January 2017

Theorem 3.1 *Let k be a field of positive characteristic. Then there exist a smooth projective rational surface X over k, a Cartier divisor D, and a $\mathbb{Q}$-divisor $\Delta \geqslant 0$ such that*

- (X, Δ) *is klt,*
- $D - (K_X + \Delta)$ *is nef and big, and*
- $H^1(X, \mathcal{O}_X(D)) \neq 0$.

To prove Theorem 3.1, we use some surfaces constructed by Langer [18]. If $k = \mathbb{F}_p$, then X can be obtained by taking the blowup of $\mathbb{P}^2_{\mathbb{F}_p}$ along all the $\mathbb{F}_p$-rational points. Since the proper transforms $L'_1, \ldots, L'_{p^2+p+1}$ of the $\mathbb{F}_p$-lines $L_1, \ldots, L_{p^2+p+1}$ are pairwise disjoint, we can contract all these curves and obtain a birational morphism $g\colon X \to Y$ onto a klt surface Y such that $\rho(Y) = 1$ (cf. Lemma 2.4). Note that $-K_Y$ is ample if and only if $p = 2$ (cf. Lemma 2.4). Further, we show:

- For any $p > 0$, Y is obtained as a purely inseparable cover of $\mathbb{P}^2$ (cf. Theorem 4.1). If $p = 2$, then the morphism $Y \to \mathbb{P}^2$ is induced by the anti-canonical linear system $|-K_Y|$ (cf. Remark 4.2).
- If $p = 2$, then the Kleimann–Mori cone $\mathrm{NE}(X)$ is generated by exactly 14 curves (cf. Theorem 5.4).
- If $p = 2$, then X is isomorphic to a surface constructed by Keel–M$^{\mathrm{c}}$Kernan (cf. Proposition 6.4).

Related results. After Raynaud constructed the first counter-example to Kodaira vanishing in positive characteristic [23], several other people studied this problem (e.g. see [3,4,6], [15, Section 2.6], [21,26]). In particular, Fano varieties are known to violate Kawamata–Viehweg vanishing. As far as the authors know, the examples constructed by Lauritzen and Rao [19] (of dimension at least 6) are the only ones over an algebraically closed field. If we admit imperfect fields, then Schröer and Maddock constructed log del Pezzo surfaces with $H^1(X, \mathcal{O}_X) \neq 0$ [20,24]. In [2], the authors and Witaszek showed that Kawamata–Vieweg vanishing holds for klt del Pezzo surfaces in large characteristic. On the other hand, if $p = 2$, then the surface mentioned above is a smooth weak del Pezzo surface (cf. Lemma 2.4), hence our result cannot be extended to characteristic two (see also Proposition 7.1).

2 Preliminaries

2.1 Notation

We say that X is a *variety* over a field k if X is an integral scheme which is separated and of finite type over k. A *curve* (respectively *surface*) is a variety of dimension one (respectively two). We say that two schemes X and Y over a field k are *k-isomorphic* if there exists an isomorphism $\theta\colon X \to Y$ of schemes such that both θ and θ^{-1} commute with the structure morphisms: $X \to \operatorname{Spec} k$ and $Y \to \operatorname{Spec} k$. Given a proper morphism $f\colon X \to Y$ between normal varieties, we say that two $\mathbb{Q}$-Cartier $\mathbb{Q}$-divisors D_1, D_2 on X are *numerically equivalent over* Y, denoted $D_1 \equiv_f D_2$, if their difference is numerically trivial on any fibre of f.

We refer to [17, Section 2.3] or [16, Definition 2.8] for the classical definitions of singularities (e.g. *klt*) appearing in the minimal model programme. Note that we always assume that for any klt pair (X, Δ), the $\mathbb{Q}$-divisor Δ is effective.

2.2 Construction by Langer

We now recall the construction of a rational surface due to Langer [18] (see also [11, Exercise III.10.7]). A similar method was used to construct also some K3 surfaces and Calabi–Yau threefolds (cf. [5,12]).

Notation 2.1 Let $q = p^e$, where p is a prime number and e is a positive integer. Let $P_1^{(0)}, \dots, P_{q^2+q+1}^{(0)}$ be the $\mathbb{F}_q$-rational points on $\mathbb{P}^2_{\mathbb{F}_q}$, and let $L_1^{(0)}, \dots, L_{q^2+q+1}^{(0)}$ be the $\mathbb{F}_q$-lines on $\mathbb{P}^2_{\mathbb{F}_q}$, i.e. the lines which are defined over $\mathbb{F}_q$. Let

$$f^{(0)} \colon X^{(0)} \to \mathbb{P}^2_{\mathbb{F}_q}$$

be the blowup along all the $\mathbb{F}_q$-points $P_1^{(0)}, \dots, P_{q^2+q+1}^{(0)}$. For any $i = 1, \dots, q^2+q+1$, let $E_i^{(0)}$ be the $f^{(0)}$-exceptional prime divisor lying over $P_i^{(0)}$, hence $E_i^{(0)} \xrightarrow{\simeq} \mathbb{P}^1_{\mathbb{F}_q}$. The proper transforms $L_1'^{(0)}, \dots, L_{q^2+q+1}'^{(0)}$ of the $\mathbb{F}_q$-lines are disjoint with each other and satisfy $(L_i'^{(0)})^2 = -q$ for any $i = 1, \dots, q^2+q+1$. Let

$$g^{(0)} \colon X^{(0)} \to Y^{(0)}$$

be the birational morphism contracting all of the curves $L_1'^{(0)}, \dots, L_{q^2+q+1}'^{(0)}$. We define

$$(E_i^Y)^{(0)} = g_*^{(0)} E_i^{(0)}.$$

Let k be a field containing $\mathbb{F}_q$ and let

$$f \colon X \to \mathbb{P}^2_k, \qquad g \colon X \to Y$$

be the base changes of $f^{(0)}$ and $g^{(0)}$ induced by $(-) \times_{\mathbb{F}_q} k$. We denote by P_i, L_i, E_i, L_i' and E_i^Y the inverse images of $P_i^{(0)}$, $L_i^{(0)}$, $E_i^{(0)}$, $L_i'^{(0)}$ and $(E_i^Y)^{(0)}$, respectively. We fix an arbitrary line $H \in |\mathcal{O}_{\mathbb{P}^2}(1)|$ defined over k. By abuse of notation, each P_i (respectively L_i) is also called an $\mathbb{F}_q$-*point* (respectively an $\mathbb{F}_q$-*line*), although these depend on the choice of the homogeneous coordinates.

Notation 2.2 We use the same notation as in Notation 2.1 but we assume that $q = 2$, i.e. $p = 2$ and $e = 1$.

Remark 2.3 The configuration of the $\mathbb{F}_q$-points and the $\mathbb{F}_q$-lines on $\mathbb{P}^2_{\mathbb{F}_q}$ satisfies the following properties:

- For any $\mathbb{F}_q$-line L on $\mathbb{P}^2_{\mathbb{F}_q}$, the number of the $\mathbb{F}_q$-points contained in L is equal to $q+1$.
- For any $\mathbb{F}_q$-point P on $\mathbb{P}^2_{\mathbb{F}_q}$, the number of the $\mathbb{F}_q$-lines passing through P is equal to $q+1$.

If $q=2$, then the picture of the configuration is classically known as Fano plane (e.g. see [22, Subsection 3.1.1]).

2.3 Basic properties

We now summarise some basic properties of the surfaces X and Y constructed in Notation 2.1.

Lemma 2.4 *We use Notation 2.1. The following hold:*

(i) $\rho(Y)=1$.
(ii) *Y is klt.*
(iii) *Y has at most canonical singularities if and only if $q=2$.*
(iv) *If $q>2$, then K_Y is ample.*
(v) *If $q=2$, then $-K_Y$ is ample.*
(vi) *If $q=2$, then $-K_X$ is nef and big.*

Proof (i) follows immediately by the construction. Further, we have

$$g^*K_Y = K_X + \left(1-\frac{2}{q}\right)\sum_{i=1}^{q^2+q+1} L_i'.$$

Thus, (ii) and (iii) hold.

We now show (iv) and (v). Since $K_X = f^*K_{\mathbb{P}^2} + \sum_i E_i \sim -3f^*H + \sum_i E_i$ and

$$(q^2+q+1)f^*H \sim f^*\left(\sum_{i=1}^{q^2+q+1} L_i\right) = \sum_{i=1}^{q^2+q+1} L_i' + (q+1)\sum_{i=1}^{q^2+q+1} E_i,$$

we have

$$\begin{aligned}(q^2+q+1)K_X &\sim -3(q^2+q+1)f^*H + (q^2+q+1)\sum_{i=1}^{q^2+q+1} E_i\\ &\sim -3\sum_{i=1}^{q^2+q+1} L_i' + (q^2-2q-2)\sum_{i=1}^{q^2+q+1} E_i.\end{aligned}$$

Taking the push-forward g_*, we get

$$(q^2+q+1)K_Y \sim (q^2-2q-2)\sum_{i=1}^{q^2+q+1} E_i^Y.$$

Therefore, if $q = 2$ (respectively $q > 2$), then $-K_Y$ (respectively K_Y) is ample. Thus, (iv) and (v) hold. (vi) follows directly from (iii) and (v). $\square$

Lemma 2.5 *We use Notation 2.1. We assume that $k = \mathbb{F}_q$. For any $\mathbb{F}_q$-point $P_i \in \mathbb{P}^2_{\mathbb{F}_q}(\mathbb{F}_q)$, let $L_{j_1}, \ldots, L_{j_{q+1}}$ be the $\mathbb{F}_q$-lines passing through P_i. Then $\mathbb{P}^2_{\mathbb{F}_q}(\mathbb{F}_q) = L_{j_1}(\mathbb{F}_q) \cup \cdots \cup L_{j_{q+1}}(\mathbb{F}_q)$.*

Proof Since we have $L_{j_\alpha} \cap L_{j_\beta} = P_i$ for any $1 \leqslant \alpha < \beta \leqslant q+1$, the claim follows by counting the number of $\mathbb{F}_q$-rational points (cf. Remark 2.3):

$$\#(L_{j_1} \cup \cdots \cup L_{j_{q+1}})(\mathbb{F}_q) = q(q+1)+1 = q^2+q+1 = \mathbb{P}^2_{\mathbb{F}_q}(\mathbb{F}_q). \qquad \square$$

3 Counter-examples to Kawamata–Viehweg vanishing

In this section, we construct some counter-examples to Kawamata–Viehweg vanishing on a family of smooth rational surfaces.

Theorem 3.1 *We use Notation 2.1. We consider the following $\mathbb{Q}$-divisors on X:*

- $\Delta = q/(q+1) \cdot \sum_{i=1}^{q^2+q+1} L'_i$, *and*
- $B = (q^2+1) f^* H - q \sum_{i=1}^{q^2+q+1} E_i$.

Then the following hold:

(i) (X, Δ) *is klt.*
(ii) $B - \Delta$ *is nef and big.*
(iii) $h^1(X, \mathcal{O}_X(K_X + B)) \geqslant (q^2 - q)/2$.

In particular, Kawamata–Viehweg vanishing fails on X.

Proof Since $L'_1, \ldots, L'_{q^2+q+1}$ are pairwise disjoint, (i) follows immediately. We now show (ii). We have

$$(q^2+q+1) f^* H \sim f^* \left(\sum_{i=1}^{q^2+q+1} L_i \right) = \sum_{i=1}^{q^2+q+1} L'_i + (q+1) \sum_{i=1}^{q^2+q+1} E_i.$$

It follows that

$$B = (q^2+1) f^* H - q \sum_{i=1}^{q^2+q+1} E_i \sim_{\mathbb{Q}} \frac{1}{q+1} f^* H + \frac{q}{q+1} \sum_{i=1}^{q^2+q+1} L'_i.$$

Thus, (ii) holds.

We now show (iii). By Riemann–Roch, it follows that

$$\chi(X, \mathcal{O}_X(K_X + B)) = 1 + \frac{1}{2}(B^2 + B \cdot K_X).$$

Since

$$B^2 = \left((q^2+1) f^*H - q \sum_{i=1}^{q^2+q+1} E_i \right)^2 = (q^2+1)^2 - q^2(q^2+q+1)$$
$$= -q^3 + q^2 + 1$$

and

$$B \cdot K_X = \left((q^2+1) f^*H - q \sum_{i=1}^{q^2+q+1} E_i \right) \cdot \left(-3 f^*H + \sum_{i=1}^{q^2+q+1} E_i \right)$$
$$= -3(q^2+1) + q(q^2+q+1) = q^3 - 2q^2 + q - 3,$$

we have

$$\chi(X, K_X + B) = 1 + \frac{1}{2}\big((-q^3+q^2+1) + (q^3 - 2q^2 + q - 3)\big) = \frac{1}{2}(-q^2+q).$$

Thus, (iii) holds. □

Remark 3.2 We do not know whether there exist a klt del Pezzo surface X and a nef and big Cartier divisor A on X such that $H^1(X, \mathcal{O}_X(A)) \neq 0$.

As an application, we now show that the pair $\big(X, \sum E_i + \sum L'_j\big)$ is not liftable to $W_2(k)$. Note that, a similar result was proven in [18, Proposition 8.4].

Corollary 3.3 *We use Notation 2.1. Assume that k is perfect. If $p \geqslant 3$, then*

$$\left(X, \sum_{i=1}^{q^2+q+1} E_i + \sum_{j=1}^{q^2+q+1} L'_j\right)$$

is not liftable to $W_2(k)$.

Proof We use the same notation as in Theorem 3.1. As in the proof of Theorem 3.1, it follows that $B - \Delta - \sum \epsilon_i E_i$ is ample for some $\epsilon_i > 0$. Thus, Theorem 3.1 and [10, Corollary 3.8] imply the claim. □

4 Purely inseparable morphisms to $\mathbb{P}^2$

The main purpose of this section is to show that the surface Y, as in Notation 2.1, can be obtained as a purely inseparable cover of $\mathbb{P}^2$ (cf. Theorem 4.1). Moreover if $q = 2$, then the morphism $Y \to \mathbb{P}^2$ is induced by the anti-canonical linear system (cf. Remark 4.2).

We also show that the complete linear system $|M|$, appearing in Theorem 4.1, does not have any smooth element (cf. Proposition 4.3), even though it is base point free and big. We were not able to find a similar example in the literature (cf. [11, Theorem II.8.18 and Corollary III.10.9]).

Theorem 4.1 *We use Notation 2.1. Let*

$$M = (q+1)f^*H - \sum_{i=1}^{q^2+q+1} E_i.$$

Then the following hold:

(i) $|M|$ *is base point free.*
(ii) $M \cdot L'_j = 0$ *for any* $j = 1, \dots, q^2+q+1$.
(iii) $M^2 = q$.
(iv) *Given the natural injective k-linear map*

$$\iota\colon H^0(X, \mathcal{O}_X(M)) \hookrightarrow H^0(\mathbb{P}^2_k, \mathcal{O}_{\mathbb{P}^2_k}(q+1)),$$

the following holds:

$$\iota(H^0(X, \mathcal{O}_X(M))) = k\cdot(x^q y - xy^q) + k\cdot(y^q z - yz^q) + k\cdot(z^q x - zx^q).$$

(v) *There exists a Cartier divisor* M_Y *on* Y *such that* $M = g^*M_Y$.
(vi) *The morphism induced by the complete linear system* $|M_Y|$

$$\varphi = \Phi_{|M_Y|}\colon Y \to \mathbb{P}^2_k$$

is a finite universal homeomorphism of degree q.

Proof We may assume that $k = \mathbb{F}_q$. We first show (i). Given a $\mathbb{F}_q$-point P_i on $\mathbb{P}^2_{\mathbb{F}_q}$, we denote by $L_{j_1}, \dots, L_{j_{q+1}}$ the $\mathbb{F}_q$-lines passing through P_i. Then Lemma 2.5 implies that

$$M = (q+1)f^*H - \sum_{r=1}^{q^2+q+1} E_r \sim \sum_{\alpha=1}^{q+1} f^*L_{j_\alpha} - \sum_{r=1}^{q^2+q+1} E_r = qE_i + \sum_{\alpha=1}^{q+1} L'_{j_\alpha}.$$

Thus, $|M|$ is base point free by symmetry and (i) holds.

(ii) and (iii) are simple calculations, and (iv) follows from [27,28] (see also [13, Proposition 2.1][1]). Further, $g\colon X \to Y$ is the Stein factorisation of $\psi = \Phi_{|M|}\colon X \to \mathbb{P}^2_k$. Thus, (v) holds.

We now show (vi). Since $M = g^*M_Y$, (i) implies that $|M_Y|$ is base point free and (v) implies that $h^0(Y, \mathcal{O}_Y(M_Y)) = 3$. Since M_Y is ample, it follows that φ is a finite surjective morphism. By (iii), the degree of φ is equal to q.

[1] Note that we cite the arXiv version, as the published version omits the proof of [13, Proposition 2.1].

It is enough to show that φ is a purely inseparable morphism. To this end, we may assume that $k = \overline{\mathbb{F}}_q$. By (iv), we have that

$$\psi \circ f^{-1} \colon \mathbb{P}^2_k \dashrightarrow \mathbb{P}^2_k, \qquad [x:y:z] \mapsto [x^q y - xy^q : y^q z - yz^q : z^q x - zx^q].$$

Generically, the rational map $\psi \circ f^{-1}$ can be written by

$$\Psi \colon \mathbb{A}^2_k \setminus \bigcup_{i=1}^{q+1} \widetilde{L}_i \to \mathbb{A}^2_k, \qquad (u, v) \mapsto \left(\frac{v^q - v}{u^q v - uv^q}, \frac{u - u^q}{u^q v - uv^q} \right),$$

where $\widetilde{L}_1, \ldots, \widetilde{L}_{q+1}$ are the affine lines passing through the origin with coefficients in $\mathbb{F}_q$, and in particular $\bigcup_{i=1}^{q+1} \widetilde{L}_i = \{u^q v - uv^q = 0\}$. Fix a general closed point $(\alpha, \beta) \in \mathbb{A}^2_k$. It is enough to show that its fibre $\Psi^{-1}((\alpha, \beta))$ consists of one point. Let $(u, v) \in \mathbb{A}^2_k \setminus \bigcup_{i=1}^{q+1} \widetilde{L}_i$ be such that $\Psi(u, v) = (\alpha, \beta)$. Since (α, β) is chosen to be general, we can assume that the denominators of the fractions appearing in the following calculation are always nonzero. We have

$$\alpha(u^q v - uv^q) = v^q - v, \qquad \beta(u^q v - uv^q) = u - u^q,$$

which implies

$$\alpha(u^q - uv^{q-1}) = v^{q-1} - 1, \tag{1}$$

and

$$\beta(u^{q-1} v - v^q) = 1 - u^{q-1}. \tag{2}$$

By (1), we have

$$v^{q-1} = \frac{\alpha u^q + 1}{\alpha u + 1}. \tag{3}$$

Substituting (3) to (2), we get

$$v = \frac{1}{\beta} \frac{1 - u^{q-1}}{u^{q-1} - v^{q-1}} = \frac{1}{\beta} \frac{1 - u^{q-1}}{u^{q-1} - (\alpha u^q + 1)/(\alpha u + 1)} = -\frac{\alpha u + 1}{\beta}. \tag{4}$$

Substituting (4) to (3), it follows that

$$\alpha u^q + 1 = (\alpha u + 1) v^{q-1} = (\alpha u + 1) \left(-\frac{\alpha u + 1}{\beta} \right)^{q-1} = \frac{(-1)^{q-1}(\alpha^q u^q + 1)}{\beta^{q-1}},$$

which implies that

$$u^q = \frac{-\beta^{q-1} + (-1)^{q-1}}{\alpha \beta^{q-1} - (-1)^{q-1} \alpha^q}.$$

Hence u is uniquely determined by (α, β), and so is v by (4). Thus, (vi) holds. $\square$

Remark 4.2 Using the same notation as in Theorem 4.1, if $q = 2$, then $M = -K_X$ and $M_Y = -K_Y$. This can be considered as an analogue of the fact that a smooth del Pezzo surface S with $K_S^2 = 2$ is a double cover of $\mathbb{P}^2$ which is induced by the anti-canonical system $|-K_X|$. Indeed, both X and S are obtained by taking blowups along seven points.

Proposition 4.3 *We use Notation 2.1. Let*

$$M = (q+1)f^*H - \sum_{i=1}^{q^2+q+1} E_i.$$

Then the following hold:

(i) *If $k = \mathbb{F}_q$, then for any element $D \in |M|$, there exists a unique $\mathbb{F}_q$-point P_i on $\mathbb{P}^2_{\mathbb{F}_q}$ such that*

$$D = qE_i + \sum_{\alpha=1}^{q+1} L'_{j_\alpha},$$

where $L_{j_1}, \ldots, L_{j_{q+1}}$ are the $\mathbb{F}_q$-lines passing through P_i.

(ii) *If k is an algebraically closed field, then a general member of $|M|$ is integral.*

(iii) *Any element of $|M|$ is not smooth.*

Proof Note that for each $\mathbb{F}_q$-point P_i on $\mathbb{P}^2_{\mathbb{F}_q}$, the divisor $D = qE_i + \sum_{\alpha=1}^{q+1} L'_{j_\alpha}$, as in (i), is an element of $|M|$. Thus, there are $q^2 + q + 1$ of such divisors. On the other hand, (iv) of Theorem 4.1 implies

$$\#|M| = \frac{q^3 - 1}{q - 1}.$$

Thus, (i) holds (see also [13, Proposition 2.3]).

We now show (ii) and (iii). To this end, we may assume that k is algebraically closed. We set $M_Y = g_*M$. By (i), there exists an irreducible divisor in $|M_Y|$. Thus, any general element of $|M_Y|$ is irreducible.

Since, by Theorem 4.1, $|M_Y|$ is base point free, if $D \in |M|$ is a general element, then D is irreducible. By Theorem 4.1, we may write

$$f_*D = \left\{\gamma(x^q y - xy^q) + \alpha(y^q z - yz^q) + \beta(z^q x - zx^q) = 0\right\}$$

for some $(\alpha, \beta, \gamma) \in k^3 \setminus \{(0,0,0)\}$. By the Jacobian criterion for smoothness, it follows that $[\alpha^{1/q} : \beta^{1/q} : \gamma^{1/q}]$ is a unique singular point of f_*D. Since f_*D is smooth outside $[\alpha^{1/q} : \beta^{1/q} : \gamma^{1/q}]$, we see that f_*D is reduced. Since α, β, γ are chosen to be general, it follows that $[\alpha^{1/q} : \beta^{1/q} : \gamma^{1/q}]$ is not an $\mathbb{F}_q$-point. Thus, D is the proper transform of f_*D, hence D is integral. Thus, (ii) holds. Since f_*D has a singular point outside $f(\mathrm{Ex}(f))$, it follows that D is not smooth. Thus, (iii) holds. □

5 The Kleimann–Mori cone

The main result of this section is Theorem 5.4 which determines the generators of the Kleimann–Mori cone of X as in Notation 2.2. To this end, we classify the curves whose self-intersection numbers are negative (cf. Proposition 5.3).

Lemma 5.1 *We use Notation 2.2. The following hold:*

(i) *If C is a curve on X which satisfies $C^2 = -1$ and differs from any of $E_1, \ldots, E_7$, then* $\deg f_*(C) \leqslant 3$.
(ii) *If C is a curve on X with $C^2 = -2$, then* $\deg f_*(C) \leqslant 2$.

Proof We show (i). We have

$$C \sim af^*\mathcal{O}_{\mathbb{P}^2}(1) + \sum_{i=1}^{7} b_i E_i,$$

where $a = \deg f_*(C) > 0$ and $b_1, \ldots, b_7 \in \mathbb{Z}$. Since $q = 2$, Lemma 2.4 implies that C is a (-1)-curve. Thus, we have

$$\begin{aligned} -1 = C^2 = a^2 - \sum_{i=1}^{7} b_i^2 - 1 = K_X \cdot C \\ = \left(-3f^*H + \sum_{i=1}^{7} E_i\right) \cdot \left(af^*H + \sum_{i=1}^{7} b_i E_i\right) = -3a - \sum_{i=1}^{7} b_i. \end{aligned}$$

By Schwarz's inequality, we obtain

$$(3a-1)^2 = \left(\sum_{i=1}^{7} b_i\right)^2 \leqslant 7 \sum_{i=1}^{7} b_i^2 = 7(a^2+1),$$

which implies $a^2 - 3a - 3 \leqslant 0$. Thus, (i) holds. The proof of (ii) is similar. □

Lemma 5.2 *We use Notation 2.2. Let C be a curve on X such that $C_0 = f(C)$ is a conic or a cubic. Then $C^2 \geqslant 0$.*

Proof First, we assume that C_0 is conic. Suppose that C_0 passes through five of the $\mathbb{F}_2$-points, say $P_1, \ldots, P_5$. Let us derive a contradiction. Let P_6 and P_7 be the remaining two $\mathbb{F}_2$-points. Since there are exactly three $\mathbb{F}_2$-lines passing through P_6 (respectively P_7), we can find an $\mathbb{F}_2$-line L_i such that $P_6 \notin L_i$ and $P_7 \notin L_i$. In particular, $C_0 \cap L_i$ contains at least three points, within $P_1, \ldots, P_5$. This contradicts the fact that $C_0 \cdot L_i = 2$.

Now, we assume that C_0 is cubic. If C_0 is smooth, then $C^2 \geqslant C_0^2 - 7 = 2$. Thus, we may assume that C_0 is singular and $C^2 < 0$. It follows that C_0 must pass through all the $\mathbb{F}_2$-points $P_1, \ldots, P_7$ and the unique singular point of C_0 is an $\mathbb{F}_2$-point, say P_1. Let L_j be an $\mathbb{F}_2$-line passing through P_1. Since $C_0 \cap L_j$ contains at least three

$\mathbb{F}_2$-rational points $P_1, P_i, P_{i'}$, we have that $C_0 \cdot L_j \geqslant 4$. This contradicts the fact that $C_0 \cdot L_j = 3$. Thus, the claim follows. □

Proposition 5.3 *We use Notation 2.2. Let C be a curve on X with $C^2 < 0$. Then C is equal to one of the curves $E_1, \ldots, E_7, L'_1, \ldots, L'_7$.*

Proof Assume that $C \notin \{E_1, \ldots, E_7\}$. Let $C_0 = f_* C$. Since $-K_X$ is nef and big, we have that $C^2 \geqslant -2$. Lemma 5.1 implies that $\deg C_0 \leqslant 3$. By Lemma 5.2, we have that $\deg C_0 = 1$, hence C_0 is a line. Then C_0 passes through at least two of the $\mathbb{F}_2$-points. It follows that C_0 is equal to some L_i, hence $C = L'_i$, as desired. □

Theorem 5.4 *We use Notation 2.2. Then*

$$\overline{\mathrm{NE}}(X) = \mathrm{NE}(X) = \sum_{i=1}^{7} \mathbb{R}_{\geqslant 0}[E_i] + \sum_{j=1}^{7} \mathbb{R}_{\geqslant 0}[L'_j].$$

Proof Since there exists an effective $\mathbb{Q}$-divisor Δ such that (X, Δ) is klt and $-(K_X + \Delta)$ is ample, the cone theorem [30, Theorem 1.7] implies that $\mathrm{NE}(X)$ is closed and generated by the extremal rays spanned by curves. By [31, Theorem 4.3], any extremal ray of $\mathrm{NE}(X)$ is generated by a curve C whose self-intersection number is negative. Thus, the claim follows from Proposition 5.3. □

6 Relation to Keel–M$^{\mathrm{c}}$Kernan surfaces

The goal of this section is to prove Proposition 6.4 which shows that the surface X, constructed in Notation 2.2, is isomorphic to some surface obtained by Keel–M$^{\mathrm{c}}$Kernan [14, end of Section 9].

We first recall their construction. Let k be a field of characteristic two. We fix a k-rational point in $\mathbb{P}^2_k$ and a conic over k as follows:

$$Q = [0{:}0{:}1] \in \mathbb{P}^2_k, \qquad C = \{xy + z^2 = 0\} \subset \mathbb{P}^2_k.$$

Note that any line through Q is tangent to C. Let $\varphi_0 \colon S_0 \to \mathbb{P}^2_k$ be the blowup at Q. We choose k-rational points $P_1, \ldots, P_d$ at $\varphi_0^{-1}(C)$. We first consider the blowup along these points $\psi \colon S'_0 \to S_0$ and then we take the blowup $S \to S'_0$ along the intersection $\mathrm{Ex}(\psi) \cap \psi_*^{-1}(\varphi^{-1}(C))$, where $\psi_*^{-1}(\varphi_0^{-1}(C))$ is the proper transform of $\varphi^{-1}(C)$. Note that the intersection $\mathrm{Ex}(\psi) \cap \psi_*^{-1}(\varphi^{-1}(C))$ is a collection of k-rational points. We call S a *Keel–M^{c}Kernan surface* of degree d over k.

Let us recall a well-known result on the theory of Severi–Brauer varieties.

Lemma 6.1 *Let X be a projective scheme over $\mathbb{F}_q$. Let $\overline{\mathbb{F}}_q$ be the algebraic closure of $\mathbb{F}_q$. If the base change $X \times_{\mathbb{F}_q} \overline{\mathbb{F}}_q$ is $\overline{\mathbb{F}}_q$-isomorphic to $\mathbb{P}^n_{\overline{\mathbb{F}}_q}$, then X is $\mathbb{F}_q$-isomorphic to $\mathbb{P}^n_{\mathbb{F}_q}$.*

Proof See, for example, [25, Chapter X, Sections 5–7]. As an alternative proof, one can conclude the claim from [7, Corollary 1.2] and Châtelet's theorem [9, Theorem 5.1.3]. □

The following two lemmas may be well-known, however we include proofs for the sake of completeness.

Lemma 6.2 *Let k be a field. Take k-rational points $P_1, \ldots, P_4, Q_1, \ldots, Q_4 \in \mathbb{P}^2_k$. Assume that no three of $P_1, \ldots, P_4$ (respectively $Q_1, \ldots, Q_4$) lie on a single line of $\mathbb{P}^2_k$. Then there exists a k-automorphism $\sigma : \mathbb{P}^2_k \to \mathbb{P}^2_k$ such that $\sigma(P_i) = Q_i$ for any $i \in \{1, 2, 3, 4\}$.*

Proof We may assume that

$$P_1 = [1{:}0{:}0], \qquad P_2 = [0{:}1{:}0], \qquad P_3 = [0{:}0{:}1], \qquad P_4 = [1{:}1{:}1].$$

For each $i \in \{1, 2, 3, 4\}$, we write $Q_i = [a_i{:}b_i{:}c_i]$ for some $a_i, b_i, c_i \in k$. Consider the matrix

$$M = \begin{pmatrix} a_1 & a_2 & a_3 \\ b_1 & b_2 & b_3 \\ c_1 & c_2 & c_3 \end{pmatrix}.$$

Since Q_1, Q_2, Q_3 do not lie on a line, it follows that $\det M \neq 0$. Let $\tau : \mathbb{P}^2_k \to \mathbb{P}^2_k$ be the k-automorphism induced by M. In particular,

$$\tau([1{:}0{:}0]) = Q_1, \qquad \tau([0{:}1{:}0]) = Q_2, \qquad \tau([0{:}0{:}1]) = Q_3.$$

We may write $\tau^{-1}(Q_4) = [d{:}e{:}f]$ for some $d, e, f \in k$. Again by the assumption, we have that $d, e, f \neq 0$. Then the k-automorphism

$$\rho : \mathbb{P}^2_k \to \mathbb{P}^2_k, \qquad [x{:}y{:}z] \mapsto [dx{:}ey{:}fz]$$

satisfies

$$\begin{aligned} \rho([1{:}0{:}0]) &= [1{:}0{:}0], & \rho([0{:}1{:}0]) &= [0{:}1{:}0], \\ \rho([0{:}0{:}1]) &= [0{:}0{:}1], & \rho([1{:}1{:}1]) &= [d{:}e{:}f]. \end{aligned}$$

Thus, the k-automorphism $\sigma = \tau \circ \rho$ satisfies $\sigma(P_i) = Q_i$ for any $i \in \{1, 2, 3, 4\}$. □

Lemma 6.3 *Let k be a field of characteristic two. Let C_1 and C_2 be smooth conics in $\mathbb{P}^2_k$. Assume that there exist distinct four k-rational points P_1, P_2, P_3, Q of $\mathbb{P}^2_k$ such that $\{P_1, P_2, P_3\} \subset C_1 \cap C_2$ and the tangent line T_{C_i, P_j} of C_i at P_j passes through Q for any $i \in \{1, 2\}$ and $j \in \{1, 2, 3\}$. Then $C_1 = C_2$.*

Proof By Lemma 6.2, we may assume that

$$P_1 = [1{:}0{:}0], \qquad P_2 = [0{:}1{:}0], \qquad P_3 = [1{:}1{:}1], \qquad Q = [0{:}0{:}1].$$

It is well known that C_1 and C_2 are strange curves (e.g. see [8, Theorem 1.1]). [8, Proposition 2.1] implies that for each $i \in \{1, 2\}$, C_i is defined by a quadric homogeneous polynomial:

$$a_i x^2 + b_i xy + c_i y^2 + d_i z^2 \in k[x, y, z].$$

Since $P_1, P_2, P_3 \in C_i$, we get $a_i = c_i = 0$ and $b_i = d_i$. In particular, both of C_1 and C_2 are defined by the same polynomial $xy + z^2$. □

Proposition 6.4 *Let k be a field of characteristic two. Then any Keel–M^c^Kernan surface S of degree 3 over k is k-isomorphic to the surface X constructed in Notation 2.2.*

Proof We use the same notation as above. Let $\pi : S_0 \to \mathbb{P}^1$ be the induced $\mathbb{P}^1$-fibration. We divide the proof into two steps.

Step 1. In this step, we show that any two Keel–M^c^Kernan surfaces S and S' of degree 3 over k are isomorphic over k.

There are three k-rational points $P_1, P_2, P_3 \in C$ (respectively $P'_1, P'_2, P'_3 \in C$) such that S (respectively S') is the blowup of S_0 twice along $P_1 \cup P_2 \cup P_3$ (respectively $P'_1 \cup P'_2 \cup P'_3$). Thanks to Lemma 6.2, there is a k-automorphism $\sigma : \mathbb{P}^2_k \to \mathbb{P}^2_k$ such that $\sigma(Q) = Q$ and $\sigma(P_i) = P'_i$ for $i = 1, 2$ and 3. Lemma 6.3 implies that $\sigma(C) = C$ and, in particular, σ induces a k-isomorphism $\widetilde{\sigma} : S \xrightarrow{\simeq} S'$, as desired.

Step 2. In this step, we assume that $k = \mathbb{F}_2$. Note that C has exactly three $\mathbb{F}_2$-rational points:

$$Q_1 = [1{:}0{:}0], \qquad Q_2 = [0{:}1{:}0], \qquad Q_3 = [1{:}1{:}1].$$

Let

$$P_1 = \varphi_0^{-1}(Q_1), \qquad P_2 = \varphi_0^{-1}(Q_2), \qquad P_3 = \varphi_0^{-1}(Q_3),$$

and S be the Keel–M^c^Kernan surface of degree 3 over $\mathbb{F}_2$ as above. We now show that S is $\mathbb{F}_2$-isomorphic to $X^{(0)}$ defined in Notation 2.2.

There are pairwise disjoint (-1)-curves $E_1, \ldots, E_7$ on S over $\mathbb{F}_2$, i.e. for any $i = 1, \ldots, 7$, E_i is $\mathbb{F}_2$-isomorphic to $\mathbb{P}^1_{\mathbb{F}_2}$ and satisfies $K_S \cdot E_i = E_i^2 = -1$. Indeed, we can check that the following seven curves listed below satisfy these properties.

- The exceptional curve over Q is a (-1)-curve over $\mathbb{F}_2$.
- For any $i = 1, 2, 3$, the exceptional curve over Q_i obtained by the second blowup is a (-1)-curve over $\mathbb{F}_2$.
- For any $1 \leqslant i < j \leqslant 3$, the proper transform of the $\mathbb{F}_2$-line, passing through Q_i and Q_j, is a (-1)-curve over $\mathbb{F}_2$.

Let $\psi : S \to T$ be the birational morphism with $\psi_* \mathcal{O}_S = \mathcal{O}_T$ that contracts $E_1, \ldots, E_7$. Since T is a projective scheme over $\mathbb{F}_2$ whose base change to $\overline{\mathbb{F}}_2$ is a projective plane, it follows that T is $\mathbb{F}_2$-isomorphic to $\mathbb{P}^2_{\mathbb{F}_2}$ by Lemma 6.1. Thus, S is obtained by the blowup along all the $\mathbb{F}_2$-rational points of $\mathbb{P}^2_{\mathbb{F}_2}$ which implies $S \simeq X^{(0)}$ (cf. Notation 2.2), as desired.

By Steps 1 and 2, we are done. $\square$

7 Appendix: Kawamata–Viehweg vanishing for smooth del Pezzo surfaces

By Theorem 3.1, there exists a smooth weak del Pezzo surface of characteristic 2 which violates Kawamata–Viehweg vanishing. We now show that Kawamata–Viehweg vanishing holds on smooth del Pezzo surfaces.

Proposition 7.1 *Let k be an algebraically closed field of characteristic $p > 0$. Let X be a smooth projective surface over k such that $-K_X$ is ample and let (X, Δ) be a klt pair for some effective $\mathbb{Q}$-divisor Δ. Let D be a Cartier divisor such that $D-(K_X+\Delta)$ is nef and big. Then $H^i(X, \mathcal{O}_X(D)) = 0$ for $i > 0$.*

Proof After perturbing Δ, we may assume that $D - (K_X+\Delta)$ is ample. We define $A = D - (K_X+\Delta)$. We run a $(\Delta + A)$-MMP $f: X \to Y$. Since $-K_X$ is ample, Y is also a smooth del Pezzo surface. Moreover, this MMP can be considered as a $(K_X+\Delta + A)$-MMP. By the Kawamata–Viehweg vanishing theorem for birational morphisms (cf. [16, Theorem 10.4], [29, Theorem 2.12]), it follows that

$$H^i(X, \mathcal{O}_X(D)) \simeq H^i(Y, f_*\mathcal{O}_X(D)) \simeq H^i(Y, \mathcal{O}_Y(f_*D))$$

for any i, where the latter isomorphism follows from the fact that f is obtained by running a D-MMP.

Therefore, after replacing X by Y, we may assume that $\Delta+A$ is nef. Thus, $D-K_X$ is nef and big. In this case, it is well-known that $H^i(X, \mathcal{O}_X(D)) = 0$ (e.g. see [21, Proposition 3.2] or [1, Proposition 3.3]). $\square$

Acknowledgements The authors would like to thank Ivan Cheltsov, Kento Fujita, Adrian Langer and Jakub Witaszek for many useful discussions and comments. The authors also thank the referee for reading the manuscript carefully and for suggesting several improvements.

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